



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/687,734	10/13/2000	Sun-Chueh Kao	2000U026.US

Univation Technologies, LLC  
Suite 1950  
5555 San Felipe  
Houston, TX 77056

**FORMALITIES  
LETTER**

\*OC000000005568858\*

Date Mailed: 11/20/2000



**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 840.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01/02/2001 ETULU1 00000055 500589 09687734

01 FC:101 710.00 CH  
02 FC:105 130.00 CH

# FEE TRANSMITTAL

Effective November 10, 1998.  
Patent fees are subject to annual revision.

Total Amount of Payment (\$)**130.00**

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number: **50-0589**

Deposit Account Name: **Univation Technologies, LLC**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

## FEE CALCULATION

### 1. FILING FEE

Large Entity Fee Code	Fee Description Fee \$	Fee Paid
101 760	Utility filing fee	
106 310	Design filing fee	
107 480	Plant filing fee	
108 760	Reissue filing fee	
114 150	Provisional filing fee	
<b>SUBTOTAL (1)</b>		

### 2. CLAIMS

Extra	Fee from below	Fee Paid
Total Claims <input type="text"/> - 20 = <input type="text"/>	x <b>18</b>	= <input type="text"/>
Independent Claims <input type="text"/> - 3 = <input type="text"/>	x <b>78</b>	= <input type="text"/>
Multiple Dependent Claims <input type="text"/>	x <b>260.00</b>	= <input type="text"/>

Large Entity Fee Code	Fee\$	Fee Description
103 18		Claims in excess of 20
102 78		Independent claims in excess of 3
104 260		Multiple dependent claim
109 78		Reissue independent claims over original patent
110 18		Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		

## Complete if Known

Application Number	<b>09/687,734</b>
Filing Date	<b>October 13, 2000</b>
Inventors	<b>Sun-Chueh Kao</b>
Group Art Unit	<b>Unassigned</b>
Examiner Name	<b>Unassigned</b>
Attorney Docket Number	<b>2000U026.US</b>

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee \$	Fee Description	FEES PAID
105 130		Surcharge - late filing fee or oath	<b>130.00</b>
127 50		Surcharge - late provisional filing or cover sheet.	
139 130		Non-English specification	
147 2,520		For filing a request for reexamination	
112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840*		Requesting publication of SIR after Examiner action	
115 110		Extension for reply within first month	
116 380		Extension for reply within second month	
117 870		Extension for reply within third month	
118 1,360		Extension for reply within fourth month	
128 1,850		Extension for reply within fifth month	
119 300		Notice of Appeal	
120 300		Filing a brief in support of an appeal	
121 260		Request for oral hearing	
138 1,510		Petition to institute a public use proceeding	
140 110		Petition to revive - unavoidable	
141 1,210		Petition to revive - unintentional	
142 1,210		Utility issue fee (or reissue)	
143 430		Design issue fee	
144 580		Plant issue fee	
122 130		Petition to the Commissioner	
123 50		Petitions related to provisional applications	
126 240		Submission of information Disclosure Stmt.	
581 40		Recording each patent assignment per property (times number of properties)	
146 760		Filing a submission after final rejection (37 CFR 1.129(a))	
149 760		For each additional invention to be examiner (37 CFR 1.129(b))	
Other fee (specify) * Reduced by Basic Filing Fee Paid			
<b>SUBTOTAL (3)</b>			<b>130.00</b>

Typed or Printed Name

**Lisa Kimes Jones**

Reg. No.

**41,878**

Signature

Date

**Dec. 21, 2000**

Deposit Account  
User ID

OLIVE JOYCE  
DEC 27 2000  
PATENT & TRADEMARK OFFICE

Section 8

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	09/687,734
		Filing Date	October 13, 2000
		First Named Inventor	Sun-Chueh Kao
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission	7	Attorney Docket Number	2000U026.US

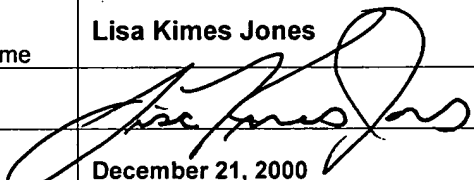
**ENCLOSURES (check all that apply)**

- |   |  |  |
|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Preliminary Amendment / Response<br><input type="checkbox"/> Non-Fee Amendment<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Documents)<br><input checked="" type="checkbox"/> Response to Missing Part/ Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><input type="checkbox"/> To Convert a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):<br><u>Copy of Express Mail Receipt</u><br><u>Copy of Original Fee Transmittal</u><br><u>Return Postcard</u> |
|---|--|--|

**REMARKS**

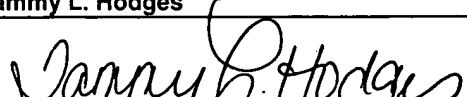
In reference to the statutory basic filing fee of \$710, the Commissioner was authorized to charge Deposit Account Number 50-0589. A copy of that authorization is attached.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Or Individual name	Lisa Kimes Jones	Registration No.	41,878
Signature			
Date	December 21, 2000		

**CERTIFICATE OF MAILING**

I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: December 21, 2000

Typed or printed name	Tammy L. Hodges		
Signature		Date	December 21, 2000